### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jianyong Chen, et al.

Serial No.: 10/594,200 Group No.: 1625
Filed: 07/30/2007 Examiner: Solola
Entitled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY

**PROTEINS** 

# REQUEST TO CORRECT INVENTORSHIP IN A NONPROVISIONAL PATENT APPLICATION UNDER 37 C.F.R. §1.48(a)(1)

EFS WEB FILED Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants requests that the United States Patent and Trademark Office correct inventorship in the above-captioned nonprovisional patent application for which an oath or declaration has already been filed. Specifically, Applicants request that the Office change the inventorship in this application from from Shaomeng Wang, Zaneta Nikolovska-Coleska, Dajun Yang, Liang Xu, Jianyong Chen, Haiying Sun, and Hu Zengjian,

to Shaomeng Wang, Zaneta Nikolovska-Coleska, Dajun Yang, Liang Xu, Jianyong Chen, Haiying Sun, Hu Zengjian and Guoping Wang.

This request is accompanied by:

- (1) A statement from **Guoping Wang**, the inventor who is being added as an inventor, stating that the error in inventorship was made without deceptive intent on his part;
- (2) An oath or declaration by the actual inventors as required by 37 C.F.R. § 1.63 or as permitted by 37 C.F.R. §§ 1.42, 1.43 or 1.47;
  - (3) Written Consent of the Assignee to Correct Inventorship; and
- (4) The processing fee as set forth under 37 C.F.R. § 1.17(i), in the amount of \$130.00.

The Commissioner is hereby authorized to charge any fees during the entire pendency of this application, including fees due under 37 C.F.R. §§ 1.16 and 1.17 that may be required,

including any required extension of time fees, or credit any overpayment to Deposit Account 50-4302, referencing Attorney Docket No. UM-13248.

Dated: January 19, 2011

/Robert A. Goetz/ Robert A. Goetz, Attorney Registration No.55210 CASIMIR JONES, S.C. 2275 Deming Way, Suite 310 Middleton, WI 53562 608/662-1277

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jianyong Chen, et al.

Serial No.:

10/594,200

Group No.: 1625

Examiner: Solola

Filed: Entitled:

07/30/2007 SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY

**PROTEINS** 

# WRITTEN CONSENT OF ASSIGNEE TO CORRECT INVENTORSHIP IN A NONPROVISIONAL PATENT APPLICATION UNDER 37 C.F.R. §1.48(a)(1)

**EFS WEB FILED** Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

The assignee, The Regents of the University of Michigan, by virtue of an Assignment recorded with the United States Patent and Trademark Office on July 30, 2007, at reel/frame number 019711/0636, consents to correct inventorship in the above-captioned nonprovisional patent application for which an oath or declaration has already been filed. Specifically, assignee consents to change the inventorship in this application from Shaomeng Wang, Zaneta Nikolovska-Coleska, Dajun Yang, Liang Xu, Jianyong Chen, Haiying Sun, and Hu Zengjian.

to Shaomeng Wang, Zaneta Nikolovska-Coleska, Dajun Yang, Liang Xu, Jianyong Chen, Haiying Sun, Hu Zengjian and Guoping Wang.

The Regents Of The University Of Michigan

Ann Arbor, Michigan 48109

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jianyong Chen, *et al.*Serial No.: 10/594,200 Group No.: 1625
Examiner: Solola

Filed: 07/30/2007

Entitled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY

**PROTEINS** 

# STATEMENT UNDER 37 C.F.R. §1.48(a)(2) OF A PERSON TO BE ADDED AS AN INVENTOR

EFS WEB FILED Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

I am mistakenly not listed as an inventor of the invention of one or more claims in the above-captioned nonprovisional application for which an oath or declaration under 37 C.F.R. § 1.63 has been filed erroneously not naming me as an inventor. The inventorship error occurred without deceptive intent on my part.

Date: /. /0 //

Guoping Wang

Doc Code: Oath

Document Description: Oath or declaration filed

PTO/SB/01 (04-09) Approved for use through 09/30/2010. OMB 0651-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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### Attorney Docket **DECLARATION FOR UTILITY OR** UM-13248 **DESIGN** PATENT APPLICATION (37 CFR 1.63) Declaration Submitted After Initial

Declaration Submitted With Initial Filing

OR

Filing (surcharge (37 CFR 1.16(f)) required)

TTUITION			
First Named Inventor	Jianyong Chen		
СОМ	PLETE IF KNOWN		
Application Number	10594200		
Filing Date	2007-07-30		
Art Unit	1625		
Examiner Name	Taofiq A. Solola		

and (2) I be		e the original and first inventor(s) of the		
SMALL	MOLECULE ANTAGONISTS	OF XIAP FAMILY PROTEINS		
		(Title of the Invention)	· · · · · ·	
the applicat	tion of which	,		
is	attached hereto			
OR				
✓ wa	as filed on (MM/DD/YYYY) 07/30/2007	as United States Application	Number or PCT Inter	national
Ар	plication Number 10/594,200	and was amended on (MM/DD/YYYY)	10/13/2010	_(if applicable)
	ate that I have reviewed and understand y any amendment specifically referred t	d the contents of the above identified ap to above.	plication, including the	claims, as
continuation		hich is material to patentability as definition which became available between the the continuation-in-part application.		
Authoriza	ition To Permit Access To Applic	cation by Participating Offices		
Japan Pate any other in filed access applicant do	ant Office (JPO), the Korean Intellectual ntellectual property offices in which a for so the above-identified patent applications not wish the EPO, JPO, KIPO, WIP	s the USPTO authority to provide the Eur Property Office (KIPO), the World Intelle reign application claiming priority to the a ion. See 37 CFR 1.14(c) and (h). This b O, or other intellectual property office in filed to have access to the above-identifi	ctual Property Office (\ bove-identified patent a ox should not be check which a foreign applica	NIPO), and application is ked if the
to: 1) the a claims prior 37 CFR 1.5	bove-identified patent application-as-file rity under 35 U.S.C. 119(a)-(d) if a copy	be provided to a copy of the above-ident ed; 2) any foreign application to which the of the foreign application that satisfies th patent application; and 3) any U.S. appli	e above-identified pater ne certified copy require	nt application ement of
	nce with 37 CFR 1.14(c), access may be ess to Application by Participating Office	e provided to information concerning the	date of filing the Autho	rization to

[Page 1 of 3]

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Claim of Foreign Priority	Benefits				
I hereby claim foreign priorit inventor's or plant breeder's a country other than the United application for patent, invento before that of the application of	rights certificater States of Amer or's or plant bree	(s), or 365(a) of any PCT in ica, listed below and have a der's rights certificate(s), or	ternational application Iso identified below, b	which designa y checking the	ated at least one box, any foreign
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Cop YES	oy Attached? NO
PCT/US2005/009378	WO	03/22/2005			<b>✓</b>
Additional foreign ap	plication numbe	r(s) are listed on a suppleme	ntal priority data shee	PTO/SB/02B a	attached hereto.

correspondence to:	he address ssociated with ustomer Number:	2960	OR	Correspondence address below		
Name						
Address	-					
City		State	1	Zip		
Country	Telephone		Email			
		WARNING:				
Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available. Petitioner/applicant is advised that documents which form the record of a patent application (such as the PTO/SB/01) are placed into the Privacy Act system of records DEPARTMENT OF COMMERCE, COMMERCE-PAT-7, System name: Patent Application Files. Documents not retained in an application file (such as the PTO-2038) are placed into the Privacy Act system of COMMERCE/PAT-TM-10, System name: Deposit Accounts and Electronic Funds Transfer Profiles.  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and						
may jeopardize the validity of the NAME OF SOLE OR FIRST		A petition has been filed for this unsigned inventor				
Given Name (first and middle [i	f any])	Family Name or Surname				
Jianyong		Chen	nen			
Inventor's Signature	ſ	Date	,			
Janyong C	hen		12/2	7/2010		
Residence: City	State	Country		Citizenship		
Ann Arbor	MI	USA		CN		
Mailing Address						
2687 Arrowwood	Trail					
City	State	Zip		Country		
Ann Arbor	MI	48105	48105 US			
Additional inventors or a legal representative are being named on the supplemental sheet(s) PTO/SB/02A or 02LR attached hereto						

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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ADDITIONAL INVENTORS

DECLARATION	Supplemental Sheet Page of					
Name of Additional Joint Inventor, if any	Аре	etition has been filed for	this unsigned inventor			
Given Name (first and middle (if any)	)	Family Nar	me or Surname			
Zaneta		Nikolovska-C				
Inventor's Signature				Date 2-27-10		
Ann Arbor Residence: City	MI State		USA Country	MK Citizenship		
2049 Tibbitts Ct						
Mailing Address	· · · · · · · · · · · · · · · · · · ·					
Ann Arbor	мі		48105	us		
City	State		Zip	Country		
Name of Additional Joint Inventor, if any	y:	A pe	etition has been filed for	this unsigned inventor		
Given Name (first and middle (if any)	Family Name or Surname					
Dajun		Yang				
Inventor's Signature				Date		
Rockville	MD		USA	us		
Residence: City	State	Country		Citizenship		
13602 Gum Spring Drive						
Mailing Address			<u> </u>			
Rockville City	MD State		20850 Zip	US Country		
Name of Additional Joint Inventor, if any		A petition has been filed for this unsigned inventor				
Given Name (first and middle (if any))		Family Name or Surname				
Shaomeng		Wang				
Inventor's Signature	$\mathcal{L}$			13-37-10 Date		
Saline Residence: City	MI ( State		USA Country	us Citizenship		
9343 Yorkshire Drive						
Mailing Address						
Saline City	мі State		48176 Zip	US Country		

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#### ADDITIONAL INVENTOR(S) DECLARATION Supplemental Sheet Page -A petition has been filed for this unsigned inventor Name of Additional Joint Inventor, if any: Given Name (first and middle (if any)) Family Name or Surname Haiying Sun Inventor's Q'V) ~9 Date Signature Ann Arbor USA CN Residence: City State Country Citizenship 1246 North Bay Drive Mailing Address Ann Arbor М 48103 US City State Zip Country Name of Additional Joint Inventor, if any: A petition has been filed for this unsigned inventor Given Name (first and middle (if any)) Family Name or Surname Liang Χu Inventor's Signature Date Ann Arbor М USA State Citizenship Residence: City Country 186 Wild Ivy Court Mailing Address Ann Arbor МІ 48103 US City State Zip Country Name of Additional Joint Inventor, if any: A petition has been filed for this unsigned inventor Given Name (first and middle (if any)) Family Name or Surname Zengjian Hu Inventor's Date Signature Gaithersburg MD USA US State Residence: City Country Citizenship 306 Buttry Road Mailing Address Gaithersburg MD 20877 US City State Zip Country

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ADDITIONAL INVENTOR(S)

DECLARATION			Supplemental Sheet Page of					
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Name of Additional Joint Inventor, if an	y:		A petition has been filed for this unsigned inventor					
Given Name (first and middle (if any)	)		Family Nan	ne or S	urname			
Guoping			Wang					
Inventor's Signature						Date		
Ann Arbor Residence: City	мі S	tate		USA Coun	itry	CN Citizer	nship	
2727 Arrowwood Trail								
Mailing Address				1				
Ann Arbor	М				48105 —:	US	i	
City	<u> </u> S	tate			Zip	Count	гу	
Name of Additional Joint Inventor, if an	y:		L A pe	tition h	as been filed for this un	signed	inventor	
Given Name (first and middle (if any	))		Family Name or Surname					
******								
Inventor's Signature						Date		
Residence: City	s	itate			Country		Citizenship	
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Mailing Address								
	Τ							
City	S	tate			Zip	Count	ry	
Name of Additional Joint Inventor, if an	ıy:		☐ A pe	tition h	nas been filed for this ur	nsigned	inventor	
Given Name (first and middle (if any)	)		Family Name or Surname					
Given Maine (instand middle (in arry)	')				Talling Hallo of Co			
Inventor's Signature						Date		
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Residence: City	1.5	State	<del> </del>		Country	<del></del>	Citizenship	
Mailing Address								
City	5	State			Zip	Coun	try	

Doc Code: Oath

Document Description: Oath or declaration filed

PTO/SB/01 (04-09)

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Taofiq A. Solola

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#### Attorney Docket DECLARATION FOR UTILITY OR UM-13248 Number DESIGN First Named Inventor Jianyong Chen PATENT APPLICATION COMPLETE IF KNOWN (37 CFR 1.63) Application Number 10594200 Declaration Declaration Submitted After Initial Filing Date 2007-07-30 Submitted OR Filing (surcharge With Initial (37 CFR 1.16(f)) Art Unit 1625 Filing

**Examiner Name** 

required)

I hereby declare that: (1) Each inventor's residence, mailing address, and citizenship are as stated below next to their name; and (2) I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention titled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY PROTEINS (Title of the Invention) the application of which is attached hereto OR as United States Application Number or PCT International was filed on (MM/DD/YYYY) 07/30/2007 1 and was amended on (MM/DD/YYYY) 10/13/2010 Application Number 10/594,200 (if applicable). I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application. Authorization To Permit Access To Application by Participating Offices If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application. In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the above-identified patent application with respect to: 1) the above-identified patent application-as-filed; 2) any foreign application to which the above-identified patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the above-identified patent application; and 3) any U.S. application-as-filed from which benefit is sought in the above-identified patent application. In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing the Authorization to Permit Access to Application by Participating Offices.

[Page 1 of 3]

Claim of Foreign Priority	Benefits				
I hereby claim foreign priorit inventor's or plant breeder's country other than the United application for patent, invento before that of the application of	rights certificate( States of Amer or's or plant bree	(s), or 365(a) of any PCT in ica, listed below and have a der's rights certificate(s), or	ternational application Iso identified below, by	which designa y checking the	ited at least one box, any foreign
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Cop YES	oy Attached? NO
PCT/US2005/009378	wo	03/22/2005			<b>✓</b>
Additional foreign ap	oplication numbe	r(s) are listed on a suppleme	ental priority data sheet	: PTO/SB/02B a	attached hereto.

PTO/SB/01 (04-09)

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		WARNING:					
Petitioner/applicant is cautioned	d to avoid submitting pe	ersonal information in o	locuments file	d in a pate	ent application that may		
contribute to identity theft. Per-	sonal Information such	as social security num TO-2038 submitted fo	bers, bank ac r navment nur	rount num roses) is r	never required by the		
USPTO to support a petition or	an application. If this t	type of personal inform	ation is includ	led in docu	uments submitted to the		
USPTO, petitioners/applicants	should consider redact	ing such personal infor	mation from t	he docume	ents before submitting them		
to the USPTO. Petitioner/appli	cant is advised that the	record of a patent app	lication is ava	ailable to th	ne public after publication of		
the application (unless a non-p	ublication request in co	mpliance with 37 CFR	1.213(a) is m	ade in the	application) or issuance of		
a patent. Furthermore, the recreferenced in a published appli	ord from an abandoned cation or an issued pate	i application may also ent (see 37 CFR 1 14)	ວe avallable ແ Checks and	ונוטט tne public credit can	d authorization forms		
PTO-2038 submitted for payme	ent purposes are not re	tained in the application	n file and ther	efore are	not publicly available.		
Petitioner/applicant is advised	that documents which f	orm the record of a pa	tent applicatio	n (such as	s the PTO/SB/01) are placed		
into the Privacy Act system of r	records DEPARTMENT	OF COMMERCE, CO	MMERCE-PA	AT-7, Syste	em name: Patent Application		
Files. Documents not retained					acy Act system of		
COMMERCE/PAT-TM-10, Sys	tem name: Deposit Acc	counts and Electronic i	-unas iransie	r Profiles.			
I hereby declare that all statem	ents made herein of m	v own knowledge are t	rue and that a	II statemei	nts made on information and		
belief are believed to be true; a	and further that these st	atements were made v	vith the knowl	edge that	willful false statements and		
the like so made are punishabl			J.S.C. 1001 a	nd that suc	ch willful false statements		
may jeopardize the validity of the	he application or any pa	atent issued thereon.					
NAME OF SOLE OR FIR			A petition has been filed for this unsigned inventor				
Given Name (first and middle [	if any])	Family Name or Su	rname				
Jianyong		Chen					
Inventor's Signature		Da	te				
Residence: City	State	Country		С	Citizenship		
Ann Arbor	MI	USA		\ <u></u>	CN		
	1711	00/1			// / / / / / / / / / / / / / / / / / /		
Mailing Address							
2687 Arrowwood		7:0		1.0	Soundry		
City	State	Zip	ı		Country		
Ann Arbor	MI	48105	)	_   L	JS		
Additional inventors or a leg	al representative are being na	amed on the supp	lemental sheet(s) F	PTO/SB/02A o	or 02LR attached hereto		

PTO/SB/02A (07-07)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet Page of						
Name of Additional Joint Inve	Name of Additional Joint Inventor, if any:		A petition has been filed for this unsigned inventor					
Given Name (first and		Family N	ame or Surname					
Zaneta		Nikolovska						
Inventor's Signature				Date				
Ann Arbor Residence: City	Mi State		USA Country	MK Citlzenship				
2049 Tibbitts Ct  Mailing Address								
Ann Arbor City	MI State		48105 <b>Z</b> ip	us Country				
Name of Additional Joint Inve	entor, if any:	A	petition has been filed for	this unsigned inventor				
Given Name (first and	middle (if any))	Family Name or Surname						
Dajun		Yang						
Inventor's Signature	5			Date Dec 27/10				
Rockville Residence: City	MD State		USA Country	US Citizenship				
13602 Gum Spring Drive Mailing Address								
Rockville	MD		20850	US				
City	State		l Zip	Country				
Name of Additional Joint Inve	entor, if any:	A petition has been filed for this unsigned inventor						
Giyen Name (first and r	niddle (if any))	Family Name or Surname						
Shaomeng		Wang						
Inventor's Signature	Date							
Saline Residence: City	MI State		USA = Country	US Citizenship				
9343 Yorkshire Drive								
Mailing Address								
Saline City	MI State		48176 Zip	US Country				

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ADDITIONAL INVENTOR(S)

DECLARATION			Supplemental Sheet Page — of					
Name of Additional Joint Inventor, if a	—- ıу:		A pet	tition h	nas been filed for this un	signed	inventor	
Given Name (first and middle (if any			Family Nam	ne or S	Surname			
Haiying			Sun					
Inventor's Signature						Date		
Ann Arbor Residence: City	мі S	State		USA Cour	ntry	CN Citizei	nship	
1246 North Bay Drive								
Mailing Address	_						···	
Ann Arbor	М				48103	US	en.	
City Name of Additional Joint Inventor, if a	•	State	A pe	tition h	Zip nas been filed for this ur	Count		
Given Name (first and middle (if any					Family Name or Si	urname		
Liang		Xu						
Inventor's Signature						Date		
Ann Arbor	м	í			USA		us	
Residence: City		State	Country				Citizenship	
186 Wild Ivy Court  Mailing Address								
Ann Arbor	М	'I			48103	US		
City		State			Zip	Count	try	
Name of Additional Joint Inventor, if a	ny:		A pe	tition h	nas been filed for this ur	nsigned	inventor	
Given Name (first and middle (if any	))		Family Name or Surname					
Zengjian			Hu					
Inventor's Signature						Date	·	
Gaithersburg	MD				USA		US	
Residence: City		State		1	Country		Citizenship	
306 Buttry Road  Mailing Address								
	$\top$					<u> </u>	···	
Gaithersburg City		ID State			20877 Zip	US Coun	try	

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DECLARATION		\$	Supplemental Sheet Page — of — of —				
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Name of Additional Joint Inventor, if an	y:		A pet	ition h	as been filed for this ur	ısigned	inventor
Given Name (first and middle (if any)	)	F	amily Nam	ne or S	Surname		
Guoping		W	/ang				
Inventor's Signature						Date	
Ann Arbor Residence: City	MI St	ate		USA Cour	ntry	CN Citizer	nship
2727 Arrowwood Trail							
Mailing Address							
Ann Arbor	М				48105	us	
City		ate			Zip	Count	ry
Name of Additional Joint Inventor, if an	y:		A pet	ition h	nas been filed for this ur	nsigned	inventor
Given Name (first and middle (if any)	)		Family Name or Surname				
Inventor's Signature						Date	
				İ			
Residence: City	St	ate			Country		Citizenship
Mailing Address							
City	St	tate			Zip	Count	try
Name of Additional Joint Inventor, if an	y:		A pe	tition h	nas been filed for this u	nsigned	inventor
Given Name (first and middle (if any)	)		Family Name or Surname				
Inventor's						Date	
Signature		<del></del>				Date	
Residence: City	S	tate			Country		Citizenship
Mailing Address							
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City	s	tate			Zip	Coun	try

Doc Code: Oath

Document Description: Oath or declaration filed

PTO/SB/01 (04-09)

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# DECLARATION FOR UTILITY OR **DESIGN** PATENT APPLICATION (37 CFR 1.63)

Declaration Submitted With Initial Filing

OR

Declaration Submitted After Initial Filing (surcharge (37 CFR 1.16(f)) required)

porta to a conection of informat	point to a confection of information unless it contains a valid OWD control number				
Attorney Docket Number	UM-13248				
First Named Inventor	Jianyong Chen				
COMPLETE IF KNOWN					
Application Number	10594200				
Filing Date	2007-07-30				
Art Unit	1625				
Examiner Name	Taofiq A. Solola				

I hereby declare that: (1) Each inventor's residence, mailing address, and citizenship are as stated below next to their name; and (2) I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention titled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY PROTEINS (Title of the Invention) the application of which is attached hereto OR as United States Application Number or PCT International was filed on (MM/DD/YYYY) 07/30/2007 ✓ and was amended on (MM/DD/YYYY) 10/13/2010 Application Number 10/594,200 (if applicable). I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application. Authorization To Permit Access To Application by Participating Offices If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application. In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the above-identified patent application with respect to: 1) the above-identified patent application-as-filed; 2) any foreign application to which the above-identified patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the above-identified patent application; and 3) any U.S. application-as-filed from which benefit is sought in the above-identified patent application. In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing the Authorization to Permit Access to Application by Participating Offices.

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Co YES	ppy Attached? NO				
PCT/US2005/009378	WO	03/22/2005			<b>V</b>				
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Additional foreign app	olication numb	er(s) are listed on a suppleme	ntal priority data sheet	PTO/SB/02B	attached hereto.				

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a patent. Furthermore, the rec referenced in a published appl						
PTO-2038 submitted for paym	ent purposes are not r	etained in the	application f	ile and ther	efore are	not publicly available.
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Files. Documents not retained	I in an application file (	such as the I	PTO-2038) ar	e placed int	the Priv	acy Act system of
COMMERCE/PAT-TM-10, Sys	stem name: Deposit Ad	ccounts and i	=lectronic Fui	nas Transte	r Profiles.	
I hereby declare that all staten	nents made herein of n	nv own know	ledge are true	and that a	ll stateme	nts made on information and
belief are believed to be true;						
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may jeopardize the validity of t	the application or any p	patent issued	thereon.			
NAME OF SOLE OR FIR					for this u	nsigned inventor
Given Name (first and middle	[if any])	1	lame or Surn	ame		
Jianyong		Cher	]			
Inventor's Signature			Date			
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Additional inventors or a le	gal representative are being	named on the	supplem	ental sheet(s) F	TO/SB/02A	or 02LR attached hereto

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DECLARATION		ADDITIONAL Supplemental S	- INVENTOR(S) theet	Pag	e of
Name of Additional Joint Inventor, if any	y:	A petition	has been filed for this un	signed	inventor
Given Name (first and middle (if any)	)	Family Name or	Surname		
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Inventor's Signature				Date	
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Mailing Address					
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City	State		Zip	Count	ry
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DECLARA	ATION	ADDIT	IONAL INVE	NTOR(S)	Page of
Name of Additional Joint Inv	rentor, if any:		petition has been	n filed for this unsign	ned inventor
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Mailing Address			· · · · · · · · · · · · · · · · · · ·		
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Given Name (first and	middle (if any))		Fen	nily Name or Surnar	ne
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Inventor's Signature	e.)-			/ c	3/38/3010
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Residence: City	State		Country	·	Citizenship
186 Wild Ivy Court  Mailing Address					
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City	State		48103 Zip	US Cou	intry
Name of Additional Joint Inve	entor, if any:	ДАр		filed for this unsigne	
Given Name (first and m	niddle (if any))		Fami	ily Name or Surname	e
Zengjian		Hu		<del></del>	
Inventor's Signature				Date	
Gelthersburg Residence: City	MD State		USA Country		us Citizenship
306 Buttry Road					Character
Mailing Address					
Gaithersburg City	MD State		20877 Zin	US	

State

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This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Petent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DNT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Name of Additional Joint Inventor, if any	<b>/</b> :	A petitio	n has been filed fo	r this unsigned	inventor	
Given Name (first and middle (if any))		Family Name of	Family Name or Surname			
Guoping		Wang				
Inventor's Signature				Date		
Ann Arbor Residence: City	MI State	us C	A ountry	CN Citize	nship	
2727 Arrowwood Trail						
Mailing Address					10 0.000 14	
Ann Arbor City	MI State		48105 Zip	us Coun	try	
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Inventor's Signature				Date		
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Inventor's Signature				Date		
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	DECLA			UTILITY OR	Attorney Docket Number	UM-13248	
	DΛ		ESIGN Addi i	CATION	First Named Inventor	Jianyong Chen	
	, ,		CFR 1.		COM	IPLETE IF KNOWN	
		•		Declaration Submitted After Initial Filing (surcharge	Application Number	10594200	
	Declaration Submitted	tted OR	<b>√</b>		Filing Date	2007-07-30	
With Initial Filing	(37 CFR 1.16(f))			Art Unit	1625		
				required)	Examiner Name	Taofiq A. Solola	

I hereby declare that: (1) Each inventor's residence, mailing address, and citizenship are as stated below next to their name; and (2) I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention titled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY PROTEINS (Title of the Invention) the application of which is attached hereto OR was filed on (MM/DD/YYYY) 07/30/2007 as United States Application Number or PCT International **✓** Application Number 10/594,200 and was amended on (MM/DD/YYYY) 10/13/2010 (if applicable). I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application. Authorization To Permit Access To Application by Participating Offices If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application. In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the above-identified patent application with respect to: 1) the above-identified patent application-as-filed; 2) any foreign application to which the above-identified patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the above-identified patent application; and 3) any U.S. application-as-filed from which benefit is sought in the above-identified patent application.

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO						
PCT/US2005/009378	wo	03/22/2005								
Additional foreign ap	Additional foreign application number(s) are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.									

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NAME OF SOLE OR FIRS	ST INVENTOR:	A petition ha	s been filed for thi	s unsigned inventor
Given Name (first and middle [i	f any])	Family Name or Surr		
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Inventor's Signature		Date		
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Additional inventors or a legi	al representative are being nam	ed on the supple	mental sheet(s) PTO/SB/0	02A or 02LR attached hereto

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ADDITIONAL INVENTOR(S)

DECLARATION			Supplement	ai Sh	neet	Page	eof
Name of Additional Joint Inventor, if an	y:		A petit	ion h	as been filed for this un	signed	inventor
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Given Name (first and middle (if any)	)	<u></u>			Family Name or Su	ırname	
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Given Name (first and middle (if any)	)				Family Name or Su	rname	
Shaomeng			Wang				
Inventor's Signature						Date	
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9343 Yorkshire Drive	•				<u> </u>		
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ADDITIONAL INVENTOR(S)

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Inventor's Signature				Date
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Mailing Address				
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City	State		Zip	Country
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Inventor's Signature				Date
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ADDITIONAL INVENTOR(S)

DECLARATION			Supplemental S	heet		Page	eof
Name of Additional Joint Inventor, if any	:	[	A petition	has been filed for	this uns	signed i	nventor
Given Name (first and middle (if any))			Family Name or	Surname			
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Inventor's Signature						Date	
Ann Arbor Residence: City	MI State		USA Cou	intry	- 1	CN Citizen	ship
2727 Arrowwood Trail							
Mailing Address					<del>-</del> -		· · · · · · · · · · · · · · · · · · ·
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	DECLA			UTILITY OR	Attorney Docket Number	UM-13248	
	DESIGN PATENT APPLICATION				First Named Inventor	Jianyong Chen	
	F #		CFR 1.	=	COM	IPLETE IF KNOWN	
		(		Declaration	Application Number	10594200	
$\Box$	Declaration Submitted	OR	<b>7</b>	Submitted After Initial Filing (surcharge	Filing Date	2007-07-30	
<u> </u>	With Initial Filing	OIX	ت	(37 CFR 1.16(f))	Art Unit	1625	
	-			required)	Examiner Name	Taofiq A. Solola	

I hereby declare that: (1) Each inventor's residence, mailing address, and citizenship are as stated below next to their name; and (2) I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention titled: SMALL MOLECULE ANTAGONISTS OF XIAP FAMILY PROTEINS (Title of the Invention) the application of which is attached hereto OR as United States Application Number or PCT International was filed on (MM/DD/YYYY) 07/30/2007 7 and was amended on (MM/DD/YYYY) 10/13/2010 Application Number 10/594,200 (if applicable). I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application. Authorization To Permit Access To Application by Participating Offices If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application. In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the above-identified patent application with respect to: 1) the above-identified patent application-as-filed; 2) any foreign application to which the above-identified patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the above-identified patent application; and 3) any U.S. application-as-filed from which benefit is sought in the above-identified patent application. In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing the Authorization to Permit Access to Application by Participating Offices.

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Claim of Foreign Priority Benefits							
I hereby claim foreign priority inventor's or plant breeder's recountry other than the United application for patent, invento before that of the application of	ights certificate( States of Ameri r's or plant bree	(s), or 365(a) of any PCT int ica, listed below and have al der's rights certificate(s), or	ternational application so identified below, by	which designated checking the lapplication have	ted at least one loox, any foreign wing a filing date		
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Cop YES	by Attached? NO		
PCT/US2005/009378	wo	03/22/2005			<b>7</b>		
Additional foreign application number(s) are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.							

correspondence to: as	ne address sociated with ustomer Number:	2960	OR	Correspondence address below			
Name							
Address							
City		State		Zip			
Country	Telephone		Email				
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the like so made are punishable	e by fine or imprisonmen	it, or both, under 18 U.		edge that willful false statements and that such willful false statement			
may jeopardize the validity of the application or any patent issued thereon.							
NAME OF SOLE OR FIRS Given Name (first and middle [i		A petition has been filed for this unsigned inventor nily Name or Surname					
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Additional inventors or a legal representative are being named on the supplemental sheet(s) PTO/SB/02A or 02LR attached hereto							

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DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet Page of				
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DECLARATION			Supplemental Sheet  Page — of			
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DECLARATION		ADDIT Suppler	ADDITIONAL INVENTOR(S) Supplemental Sheet Page — of			
Name of Advisor and Advisor						
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